

U.S.A.N. 09/696,693

Attorney Docket No. 74622-037

AMENDMENTS TO THE CLAIMS

This listing of claims will replace all prior versions, and listing, of claims in the application:

Listing of claims:

1. (previously presented) An integrated system for providing financial services comprising:
 - at least one workstation for use by a financial advisor for providing financial services to at least one investor, the workstation having a central processing unit and a video display screen;
 - at least one host server, the at least one host server connected to the at least one workstation over a communication system for transmitting information between a workstation and at least one host server and connected to an online investor transaction system operable to allow investors to conduct investor mediated transactions therewith, the investor mediated transactions comprising orders to trade financial instruments;
 - an application interface operable on the workstation for accessing a plurality of finance-related software applications comprising a real-time market data application and a financial planning application; and
 - a real-time investor monitoring system for monitoring investor mediated transactions conducted by the investor on the online transaction system, wherein the investor monitoring system monitors an investor's account for at least one investor mediated transaction and communicates to the financial advisor a communication regarding the at least one investor-mediated transaction on a real-time basis upon detecting the at least one investor-mediated transaction, the financial advisor therewith able to proactively intercede in the investor-mediated transaction and to provide timely proactive financial advice to investors.

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2. (previously presented) The integrated system as recited by claim 1, wherein the plurality of finance-related software applications further comprise at least one finance-related software application selected from the group consisting of: a calculator application; a client information application; an opportunities application; an investment products application; an investment research application; and an office productivity application.

3. (cancelled)

4. (previously presented) The integrated system as recited by claim 1, wherein the real-time market data application provides real-time market data comprising at least one of: quotes, news, and historical and intraday charting.

5. (previously presented) The integrated system as recited by claim 1, wherein the real-time market data application provides a valuation ratings for at least one financial instrument.

6. (original) The integrated system as recited by claim 1, wherein the application interface further includes a scratchpad application for moving information between applications.

7. (original) The integrated system as recited by claim 1, wherein the communication system connects a workstation to at least one host server via the Internet.

8. (cancelled)

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9. (original) The integrated system as recited by claim 1, further comprising an authentication system for determining user entitlements and accessing a user preference profile.

10. (original) The integrated system as recited by claim 9, wherein the authentication system populates the application interface based on the user entitlements.

11. (original) The integrated system as recited by claim 9, wherein the authentication system provides access to all applications using a single logon process.

12. (previously presented) A workstation for use by a financial advisor in providing financial services to investors conducting investor mediated transactions over an online transaction system, the workstation comprising:

a central processing unit;

a video display screen;

an application interface operable on the workstation for accessing at least one finance-related software application; and

an investor monitoring system for monitoring investor mediated transactions conducted by the investor on the online transaction system, wherein the workstation is connected to at least one host server over a communication system which enables communication between the workstation and at least one host server, wherein the investor monitoring system monitors at least one investor account for at least one investor mediated transaction and communicates to the financial advisor a communication regarding the at least one investor-mediated transaction on a

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real-time basis upon detecting the at least one investor-mediated transaction, the financial advisor therewith able to proactively intercede in the investor-mediated transaction.

13. (previously presented) The workstation as recited by claim 12, wherein the financial-related software application comprises at least one finance-related software application selected from the group consisting of: a calculator application; a client information application; an opportunities application; an investment products application; an investment research application; and an office productivity application.

14. (previously presented) An authentication system for creating an application interface for a financial assistance system, the authentication system comprising:

means for allowing access to a plurality of finance-related software applications permitted by a user entitlement level, the plurality of finance-related software applications comprising a real-time market data application and a financial planning application;

means for providing user preferences that allow user to customize the application interface;

a system for controlling access to applications and the user preferences; and

a real-time investor monitoring system for monitoring investor mediated transactions conducted by an investor on an online transaction system and communicating to a financial advisor a communication regarding at least one investor-mediated transaction on a real-time basis upon detecting the at least one investor mediated transaction.

15. (previously presented) A system for providing financial information to end users in a

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network environment having at least one workstation and a host computer comprising:

an application interface having:

means for selectively running and displaying a plurality of finance-related software applications simultaneously, the plurality of finance-related software applications comprising a real-time market data application and a financial planning application; and

means for controlling the display of the finance related software applications; and

an authentication system having:

means for determining a set of finance-related software applications that a user is entitled to selectively run and display; and

means for setting user preferences that allow a user to customize the application interface for the user based on a stored user preference profile.

16. (currently amended) The system as recited by claim 15, further comprising:

means for executing a controller that maps server names; retrieves entitlement levels; retrieves entitlement data; retrieves a user preference profile; creates a local user directory; activates an application interface with retrieved entitlement data and user preferences; and launches the application interface.